

1743 Keeping and Destroying Records  
NIH Records Control Schedule

PART 3      FUNDING OF RESEARCH AND TRAINING

Records related to the operations of the NIH Extramural Program and the financing of research contracts.

EXCLUDED from this section are

- (1) Accounting records, including GAO copies of contracts (see section 1900);
- (2) Budget records (see section 2100);
- (3) Products of extramural research such as experimental data, reports, publications, etc. (See sections 3000-G through K for products of research contracts).

4000 Grants and Awards

A.      General Information

4000-A-1      General Program Information Files maintained by the grants management officers. Included are the program announcements, program management procedures, terms and conditions, instructions to evaluators, lists of evaluators and compilation of application ratings.

- a.      All grants and awards except construction grants and similar grants.

Disposition:      Place in inactive file at the close of each award cycle or resolution of audit findings. Destroy 10 years after close-out or audit resolution.

- b.      Construction and similar grants.

Disposition:      Place in inactive file at the close of each award cycle or resolution of audit findings. Transfer each fiscal year file to Federal Records Center after 1 year in inactive file. Destroy 20 years after close-out or audit resolution.

4000-A-2      Information for Management, Planning, Analysis and Coordination (IMPAC). This is a central extramural data system administered by the Office of Policy for Extramural Research Administration (OPERA), NIH, which includes Office of Assistant Secretary of Health, Substance Abuse and Mental Health Services Administration, Agency for Health Care Policy and Research, Food and Drug

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Administration, and Center for Disease Control and Prevention. It contains initial review group actions, council actions, awarding unit actions, and other individual grant information taken from applications, awards and other grant and contract records. The data is used for preparing publications, listings and tabulations; administrative purposes such as fiscal operations, budgeting and program planning; public information and responses to inquiries; and research analysis.

Disposition: Destroy when no longer needed for administrative purposes.

4000-A-3 Computer Retrieval of Information on Scientific Projects (CRISP): This is a computer system containing information about the scientific and fiscal aspects of research contracts and grants supported by NIH and other fiscal aspects of research contracts and grants supported by NIH and other Public Health Service agencies. It serves as a scientific data base from which reports to all levels of management can be prepared and where scientists and administrators of science programs can obtain answers to a wide range of inquiries. It contains scientific descriptors, project identification, title, initial review group, principal investigator, fiscal year and award amounts taken from awarded grant applications and progress reports, negotiated contracts and progress reports, and intramural annual reports and individual project descriptions.

Disposition: Destroy all files when no longer needed for administrative purposes.

4000-A-4 Research, Research Training, Fellowships and Construction Applications and Awards: These magnetic tapes contain information by IC (institute, center) which is extracted from the IMPAC System for individual IC use in administering the grants program and for responding to information requests. Included are grant applications and review history, awards, financial records, progress reports and correspondence, which are obtained from the applicant, outside reviewers and internal staff.

Disposition: Destroy magnetic tapes when superseded or no longer needed for reference.

4000-A-5 Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Disposition: Destroy when 2 years old.

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4000-A-6      Grant Control Files: Indexes, registers, logs or other records relating to control of assigning numbers or identifying projects applications and grants.

Disposition:    Destroy when superseded or obsolete.

4000-A-7      Grants and Awards - General Information

Electronic copies created on electronic mail and word processing systems.

Disposition:    Delete when file copy is generated or when referencing or updating is completed.

B.      Case Files:    Funded Grant and Award Applications

Grants Case Files - Each institute, center, and division maintains its grant files, and the Center for Scientific Review has copies of parts of the files. For purposes of records disposal the following definitions will apply:

Termination or completion - the date when all work under a grant is complete, the date when Federal assistance ends, or the date when the competitive segment ends.

Competitive Segment- The initial project period recommended for support (1-5 years) or each extension of the prior project resulting from the award of a competing continuation grant.

Closeout - the process by which it is determined that all applicable administrative actions and all required work of the grant have been completed by the grantee and NIH.

Files of all funded grants and awards, include research project grants, fellowships, training grants, general research support grants, program projects, center grants, demonstration grants, National Research Service Awards and similar types of grants and awards, except construction and similar grants.

4000-B-1      Official Case Files of Funded Grant and Award Applications:

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The official grant file may be in electronic or paper format, or a combination of both. The file should include all significant records that pertain only to the particular grant. These records should include, but are not limited to, the complete application(s), summary of review actions, award notices, progress reports, financial records, audit records, official correspondence, closeout documents and all other supporting and related papers. National Research Service Award files should include payback records. **These records are subject to the Privacy Act.**

*Electronic files should be treated in terms of maintenance in the same manner as paper files. Electronic files shall be created and maintained in such a manner as to preclude textual changes of any sort on individual files. The responsible manager shall attest to the accuracy of the electronic files using appropriate electronic signature technology. For this purpose, electronic files may be aggregated, but are not required to be aggregated.*

Disposition: **TEMPORARY.** (See Note below)

a. Electronic Files. Cut off at end of FY of closeout. Delete 6 years after cut off.

b. Paper Files:

- (1) If copied to electronic images, destroy upon verification of the electronic image.
- (2) If not copied to another medium, cut off at the end of FY of closeout and place in inactive file. Transfer to the Federal Records Center 1 year after cut off. Destroy 6 years after cut off.

*NOTE: Most NIH official grant case files are not historically valuable and the disposition instructions set forth in NIH Manual Chapter 1743, Keeping and Destroying Records, , should be followed. However, grant case files that document events of historical importance should be brought to the attention of the NIH Records Officer as they may require transfer to the National Archives. Such "events" may include the cure of a disease, a major scientific discovery, a major health program, or other event, which generates significant media, public, or historic interest.*

*In the event that records of this type are in electronic format and are scheduled*

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*for permanent retention in the National Archives, the records must be transferred in a NARA acceptable format according to 36 CFR 1228.270 Electronic Records.*

4000-B-2      Initial Review Files of the Center for Scientific Review and IC initial review records and copies of the records from the official files.

Disposition:    Destroy when no longer needed.

4000-B-3      Progress reports which are not part of the official grant file.

a.            Copies maintained in an organized subject file.

Disposition:    Destroy when no longer needed.

b.            Copies filed by grant or award number.

Disposition:    Destroy no later than 1 year after the relevant official file is closed by the IC.

4000-B-4      NRSA Payback Files established to document fulfillment of payback requirements for awards made under the National Research Service Award, when the official grant files for such awards are closed out following termination of support. These files include activation notices, appointment forms, signed payback agreements, termination notices, annual payback activities certification forms, and related documents and correspondence.

Disposition:    Close file when all payback requirements have been fulfilled or formally waived. Transfer files closed in one fiscal year to Federal Records Center one year later. Destroy 6 years after close of files.

4000-B-5      Grants and Awards - Funded Grant and Award Applications

Electronic copies created on electronic mail and word processing systems.

Disposition:    Delete when file copy is generated or when referencing or updating is completed.

C.      Case files:      Unfunded Grant and Award Applications

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(See section 4000-B for description of files and disposition terms.)

This section covers applications which are not recommended for further consideration, withdrawn and non-funded.

4000-C-1      Official Files of Unfunded Grant and Award Applications also may be in electronic or paper format. The official file should include the application, summary of review actions, official correspondence, and any other relevant documents.

Disposition: **TEMPORARY.**

a. Electronic Files: Cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Delete 3 years after cut off.

b. Paper Files:

(1) If copied to electronic images, destroy upon verification of the electronic image.

(2) If not copied to another medium, cut off at the end of FY in which notification occurs that no award will be made or when the application is withdrawn. Destroy 3 years after cut off.

1. Application Tracking System. Applications are tracked in database that includes input information such as award number, awardees, associated action dates, and are used solely to document the status of a grant.

Disposition: **TEMPORARY.** Update as necessary. Delete with related records or when no longer needed for administrative or reference purposes.

2. Electronic Mail and Word Processing System Copies

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

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Disposition: **TEMPORARY.** Delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Disposition: **TEMPORARY.** Delete when dissemination, revision, or updating is complete.

4000-C-2 Initial Review Files and copies of other records on unfunded applications held by Division of Research Grants and other initial review groups.

Disposition: Destroy when no longer needed and no later than 2 years after the applicant has been notified that no award will be made.

4000-C-3 Grants and Awards - Unfunded Grants and Award Applications

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

D. Construction and Similar Grants.

4000-D-1 Official case file containing total application, summary of review actions, award notices, terms and conditions of award, financial status report, close-out documents and other related papers maintained as an identifiable entity.

Disposition: Place in inactive file on close-out of grant. Transfer each fiscal year file to Federal Records Center after 2 years in inactive file. Destroy 20 years after close-out. [NOTE: Close-out of grant should occur following occupancy of constructed or expanded space.]

4000-D-2 Other copies.

Disposition: Destroy when no longer needed for administrative reference and no later than 3 years after the official file is closed.

4000-D-3 Grants and Awards - Construction and Similar Grants

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Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

E. Appeals and Litigations

4000-E-1 Grants Appeal Case Files containing records of appeals by individuals related to decisions on grant applications. Included are appeal documents, correspondence, legal opinions and documentation of final decision.

a. Official Case file.

Disposition: Destroy 6 years after calendar year in which case is closed.

b. Other copies.

Disposition: Destroy 2 years after calendar year in which case is closed.

4000-E-2 Grants Litigation Case Files, consisting of complaints, all subsequent motions, interrogatories, affidavits, investigations, legal arguments, appendices thereto, and other related documents.

a. Official Case file.

Disposition: Destroy 6 years after calendar year in which case is closed.

b. Other copies.

Disposition: Destroy 2 years after calendar year in which case is closed.

4000-E-3 ALERT System Records concerning investigations or determinations of misconduct in science by actual or potential recipients of research grants or contracts.

Located in any component of PHS outside of ORI.



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Disposition: Destroy, or return to the Office of Research Integrity as soon as the purpose for which the copy was provided is satisfied. Do not file with grant or contract files.

4000-E-4 Grants and Awards - Appeals and Litigation

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.

F. NHGRI Case Files. (See 4000 B. Case Files for definitions.)

4000-F-1 NHGRI Funded Case Files

Disposition: Place in inactive file on close-out of grant. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy when 30 years old.

4000-F-2 NHGRI Unfunded Case Files

Disposition: Place in inactive file when applicant is notified that no award will be made or when the application is withdrawn. Transfer each fiscal year file to the Federal Records Center after 1 year in inactive file. Destroy 15 years after notification or withdrawal.

4000-F-3 Grants and Awards - NHGRI Case Files

Electronic copies created on electronic mail and word processing systems.

Disposition: Delete when file copy is generated or when referencing or updating is completed.